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Washington, D.C. 20231

SERIAL NO. 09/895,977

IBM DOCKET NO. AUS920010235US1

DATE: August 1, 2005

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FROM: Joseph T. Van Leeuwen
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Docket No. AUS920010235US1

Serial No. 09/895,977

Atty: LAV / JVL

Applicant: Calderaro, et al.

☒ Transmittal Letter (2 copies)

☒ Certificate of Facsimile

☐ Amendment (pages)

☐ Notice of Appeal

☐ Amendment AF

☐ Appeal Brief (3 copies)

☐ Ext. of Time

☐ Reply Brief

☒ IDS Statement

☐ Change of Address

☒ Form PTO-1449 (Modified)

☐ Other

Deposit Acct. No. 09-0447

Fees: Amendment Notice of Appeal Appeal Brief Other \$0.00

Atty Ref. No. 1029


COMMISSIONER FOR PATENTS
Washington, D.C. 20231

SERIAL NO. 09/895,977

IBM DOCKET NO. AUS920010235US1

DATE: August 1, 2005

Commissioner for Patents
P.O. Box 1450
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 Joseph T. Van Leeuwen	<u>8/1/05</u> Date

Sir:

Transmitted herewith for filing is the Patent Application of:

Inventors: Calderaro, et al.

For: System and Method for Organizational Risk Based On Personnel Planning Factors


Enclosed are:

- ☒ Information Disclosure Statement;
- ☒ Modified form 1449 listing 5 references;
- ☒ copies of any non-U.S. Patent references listed on form 1449.

37 CFR § 1.97 is satisfied by the following:

- ☒ This IDS is being filed pursuant to CFR § 1.97(b), therefore no fee as set forth in § 1.17(p) is believed to be due. If, however, more than three months have elapsed since the filing date and a first Office action on the merits has already been mailed, then please charge my Deposit Account No. 09-0447 the fees set forth in § 1.17(p) [\$180.00]. A duplicate copy of this sheet is enclosed.
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- ☒ Any additional patent application processing fees under 37 CFR Sect. 1.17.

Respectfully submitted,

By 
Joseph T. Van Leeuwen
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Atty Ref. No. 1029


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Washington, D.C. 20231

SERIAL NO. 09/893,977

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 Joseph T. Van Leeuwen	<u>8/1/05</u> Date

Sir:

Transmitted herewith for filing is the Patent Application of:

Inventors: Calderaro, et al.

For: System and Method for Organizational Risk Based On Personnel Planning Factors


Enclosed are:

- ☒ Information Disclosure Statement;
- ☒ Modified form 1449 listing 2 references;
- ☒ copies of any non-U.S. Patent references listed on form 1449.

37 CFR § 1.97 is satisfied by the following:

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- ☒ Any additional patent application processing fees under 37 CFR Sect. 1.17.

Respectfully submitted,

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Atty Ref. No. 1029

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SERIAL NO. 09/895,977
IBM DOCKET NO. AUS920010235US1
DATE: August 1, 2005

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:	: Group Art Unit: 2163
Calderaro, et. al.	: Intellectual Property Law Department
Serial No.: 09/895,977	: International Business
Filed: June 29, 2001	: Machines Corporation
Title: <u>System and Method for</u>	: Intellectual Property Law Dept.
<u>Organizational Risk Based On</u>	: 11400 Burnet Road
<u>Personnel Planning Factors</u>	: Austin, Texas 78758

INFORMATION DISCLOSURE STATEMENT

The Commissioner of Patents
Washington, D.C. 20231

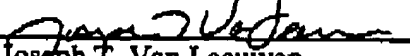
Sir:

Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR § 1.56.

While this Information Disclosure Statement may be "material" pursuant to 37 CFR § 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to herein is "prior art" for this invention unless specifically designated as such. In accordance with 37 CFR § 1.97(g) the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 CFR § 1.56 (a) exists.

The attached form, PTO-1449, provides a listing of patents, publications, or other information as required by 37 CFR § 1.98 (a)(1). A copy of each listed item that is not a U.S. Patent document, is supplied herewith.

Respectfully submitted,

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Page 1 of 1

Any Ref. No. 1029

In Place of FORM PTO-1449 (Modified)

Serial No. 09/895,977

Applicant: Calderaro, et. al.

Filing Date: 6/29/2001

Group: 2163

Atty. Docket No. AUS920010235US1

**LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANT'S INFORMATION DISCLOSURE
STATEMENT**

U. S. PATENT DOCUMENTS

<u>Examiner Initial</u>	<u>Document Number</u>	<u>Date</u>	<u>Name</u>	<u>Classification Class / Subclass</u>	<u>Filing Date if Appropriate</u>
_____	AA 6,338,042	01-2002	Paizis, James N.	705/11	
_____	AB 6,754,874	06-2004	Richman, Ira S.	715/507	
_____	AC 5,819,231	10-1998	Tremaine, John L.	705/7	
_____	AD 6,269,355	07-2001	Grimse et al.	706/46	
_____	AE 6,741,993	05-2004	Zitaner et al.	707/10	
_____	AF				
_____	AG				
_____	AH				
_____	AI				
_____	AJ				
_____	AK				
_____	AL				

FOREIGN PATENT DOCUMENTS

<u>Examiner Initial</u>	<u>Document Number</u>	<u>Date</u>	<u>Country</u>	<u>Classification</u>	<u>Translation Yes No</u>
_____	AM				
_____	AN				
_____	AO				
_____	AP				

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

<u>Examiner Initial</u>
_____ AQ
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Examiner:

Date Considered:

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.